IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

NIKOLAI G. NIKOLOV

Application No.: 10/750,396

Filed: December 30, 2003

For: **Classfile Conversion Into An Organization Of Objects, and Modification Thereof, To Effect Bytecode Modification**

Art Group: 2122

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

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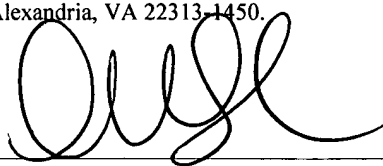
Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 1/17/05

Robert B. O'Rourke, Reg. No. 46,972

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (408) 720-8300

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Carla Vignola   *Date*

-2-   6570P039

Substitute for Form 1449/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(use as many sheets as necessary)*		Application Number	10/750,396
		Filing Date	12-30-2004
		First Named Inventor:	Nikolai G. Nikolov
		Art Unit	2122
		Examiner Name	Unassigned
Sheet 1 of 3		Attorney Docket Number	006570.P039

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 6,260,187 B1	07-10-2001	CIRNE	
		US-			
		US-			
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FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**

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Substitute for Form 1449/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(use as many sheets as necessary)*				Application Number	10/750,396
				Filing Date	12-30-2004
				First Named Inventor:	Nikolai G. Nikolov
				Art Unit	2122
				Examiner Name	Unassigned
Sheet	2	of	3	Attorney Docket Number	006570.P039

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
		IAN WELCH, et al., "**Kava- A Reflective Java Based on Bytecode Rewriting**" SpringerLink –Verlag Berling Heidelberg 2000, Chapter, Lecture Notes in Computer Science, W. Cazzola, et al. Editors, Reflection and Software Engineering, LNCS, pages 155-167.	
		Wily Technology, Inc., Wily Solutions "**How Introscope® Works**" – Enterprise Application Management, http/www.wilytech.com/solutions/products/howWorks.html, 1999-2004, printed 7/2/2004 (1 page).	
		BEN STEPHENSON, et al., "**Characterization and Optimization of Java Applications**" Department of Computer Science, Abstract in Western Research Forum Program & Abstracts, page 20, 2003.	
		Wily Technology, Inc., Wily Solutions "**Wily Introscope®**" – Enterprise Application Management, http://www.wilytech.com/solutions/products/Introscope.html, 1999-2004, printed 7/2/2004 (2 pgs.).	
		Sun Microsystems, Java – J2EE 1.4 Application Server Developer's Guide, "**Debugging J2EE Applications**" Chapter 4, http://java.sun.com/j2ee/1.4/docs/devguide/dgdebug.html, 2003, printed 7/2/2004 (11 pgs.).	
		Wily Technology, Inc., Wily Technology, Inc., Wily Solutions "**The Wily 5 Solution – Enterprise Applications are Your Business**", http://www.wilytech.com/solutions/ibm_family.html, 1999-2004, printed 7/2/2004 (2 pgs.)	
		AJAY CHANDER et al., "**Mobile Code Security by Java Bytecode Instrumentation**", Proceedings of the DARPA Information Survivability Conference & Exposition DISCEX-II 2001, June 12-14, 2001, Stanford University and University of Pennsylvania, [*Partially supported by DARPA contract N66001-00-C-8015 and ONR grant N00014-97-1-0505] (14 pgs.)	
		Mobile-Code Security Mechanisms for Jini – "**Mobile-Code Security Mechanisms for Jini**" Download code, DISCEX 2001 Paper, http://theory.stanford.edu/people/jcm/software/jinifilter.html, printed 7/2/2004 – (3 pgs.)	
		ALLEN GOLDBERG, et al., "**Instrumentation of Java Bytecode for Runtime Analysis**", Fifth ECOOP Workshop on Formal Techniques for Java-like Programs, July 21, 2003, Kestrel Technology, NASA Ames Research Center, Moffett Field, California USA, (9 pgs.).	
		ALGIS RUDYS, et al., "**Enforcing Java Run-Time Properties Using Bytecode Rewriting**", International Symposium on Software Security (Tokyo, Japan), November 2002, Rice University, Houston, TX 77005, USA (16 pgs.).	
		HAN BOK LEE, et al., "**BIT: A Tool for Instrumenting Java Bytecodes**", originally published in the Proceedings of the USENIX Symposium on Internet Technologies and Systems, Monterey, California, December 1997, www.usenix.org/ (11 pgs.).	

Examiner Signature		Date Considered	

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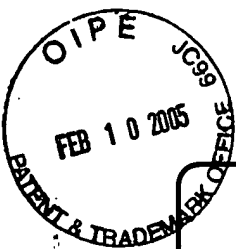
[1]Applicant's unique citation designation number (optional). [2]Applicant is to place a check mark here if English Translation is attached.
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**
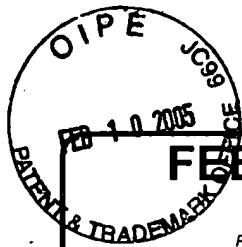**If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.**

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T[2]
		REINHOLD PLÖSH, Johannes Kepler University Linz, Austria, "**Evaluation of Assertion Support for the Java Programming Language**", JOT: Journal of Object Technology, Vol. 1, No. 3, Special issue: TOOLS USA 2002 Proceedings, pp. 5-17, http://www.jot.fm/issues/issue_2002_08/article1	
		ETIENNE GAGNON, et al., "**Effective Inline-Threaded Interpretation of Java Bytecode Using Preparation Sequences**", Sable Research Group, Université du Québec à Montréal and McGill University, Montreal. Canada, January 2003 (15 pgs.).	
		GEOFF A. COHEN, et al., Software-Practice and Experience, [Version: 2000/03/06 v2.1] "**An Architecture for Safe Bytecode Insertion**", Department of Computer Science, Duke University (27 pgs.)	
		REYNALD AFFELDT, et al., "**Supporting Objects in Run-Time Bytecode Specialization**", Department of Graphics and Computer Science, University of Tokyo, ASIA-PEPM '02, September 12-17, 2002, ACM, pp. 50-60.	
		NATHAN MACRIDES, Security Techniques for Mobile Code "**SANS Security Essentials (GSEC) Practical Assignment Version 1.4**", July 11, 2002, (11 pgs.)	
		DYLAN McNAMEE, et al., "**Specialization Tools and Techniques for Systematic Optimization of System Software**", Oregon Graduate Institute of Science & Technology, and University of Rennes/IRISA, ACM Transactions on Computer Systems, 2001 (30 pgs.)	
		WEN LI, et al., "**Collaboration Transparency in the DISCIPLE Framework**", CAIP Center, Rutgers – The State University of New Jersey, Piscataway, NJ, USA, Proceeding of the ACM International Conference on Supporting Group Work (Group '99) November 14-17, 1999, Phoenix, AZ, (10 pgs.)	
		JONATHAN DAVIES, et al., Proceedings of the 2nd international conference on "**An Aspect Oriented Performance Analysis Environment**", 10 pgs., 2003, Boston, Massachusetts March 17 - 21, 2003.	
		PETER W. GILL, "**Probing for a Continued Validation Prototype**", a Thesis Submitted to the Faculty of the Worcester Polytechnic Institute, May 2001, (111 pages)	

Examiner Signature		Date Considered	

Ifw

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/750,396
Filing Date	December 30, 2003
First Named Inventor	Nikolai G. Nikolov
Art Unit	2122
Examiner Name	Unassigned

Total Number of Pages in This Submission	30	Attorney Docket Number 6570P039

ENCLOSURES *(check all that apply)*

☒ Fee Transmittal Form
    ☐ Fee Attached
☐ Amendment / Response
    ☐ After Final
    ☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☒ Information Disclosure Statement
    ☒ PTO/SB/08
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/ Incomplete Application
    ☐ Basic Filing Fee
    ☐ Declaration/POA
    ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert a Provisional Application
☐ Power of Attorney, Revocation Change of Correspondence Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s)

☐ After Allowance Communication to Group
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) *(please identify below):*

Cited articles enclosed (21)
Return postcard.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Robert B. O'Rourke, Reg. No. 46,972 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	1/27/05

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Typed or printed name	Carla Vignola		
Signature		Date	2-8-05

FEE TRANSMITTAL
for FY 2005

Patent fees are subject to annual revision.

Complete if Known	
Application Number	10/750,396
Filing Date	December 30, 2003
First Named Inventor	Nikolai G. Nikolov
Examiner Name	Unassigned
Art Unit	2122
Attorney Docket No.	6570p039

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT	($)	0.00

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☐ Credit card ☐ Money Order ☒ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)
☐ Charge fee(s) indicated below
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FEE CALCULATION

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee ($)	Fee Code	Fee ($)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1251	120	2251	60	Extension for reply within first month	
1252	450	2252	225	Extension for reply within second month	
1253	1,020	2253	510	Extension for reply within third month	
1254	1,590	2254	795	Extension for reply within fourth month	
1255	2,160	2255	1,080	Extension for reply within fifth month	
1401	500	2401	250	Notice of Appeal	
1402	500	2402	250	Filing a brief in support of an appeal	
1403	1,000	2403	500	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____   0.00

SUBTOTAL (2)   ($) 0.00

SUBMITTED BY

			Complete (if applicable)		
Name (Print/Type)	Robert B. O'Rourke	Registration No. (Attorney/Agent)	46,972	Telephone	(408) 720-8300
Signature				Date	1/27/05